



Attorney Docket No. SON-2009  
Date: December 14, 2000

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of  
Inventor(s): Toshio KOBAYASHI, Hiroyuki MORIYA and Ichiro FUJIWARA  
For: NONVOLATILE SEMICONDUCTOR MEMORY DEVICE AND METHODS FOR  
OPERATING AND PRODUCING THE SAME

Enclosed are:

- ☒ Specification and Claim(s).
- ☒ Oath or Declaration (Unexecuted).
- ☒ 21 sheet(s) of drawings.
- ☐ An assignment of the invention to \_\_\_\_\_.
- ☐ Copy of \_\_\_\_\_ priority application(s).
- ☐ Associate Power of Attorney.

The fee has been calculated as shown below:

CLAIMS AS FILED				
FOR	NUMBER FILED	NUMBER EXTRA	RATE	BASIC FEE \$355/\$710
TOTAL CLAIMS	42-20	22	X \$ 9 \$18	\$396.00
INDEP. CLAIMS	8-3	5	X \$40 \$80	\$400.00
Fee for Multiple Dependent Claims \$130/\$260				0
			TOTAL FILING FEE	\$1506.00

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Patent Application of

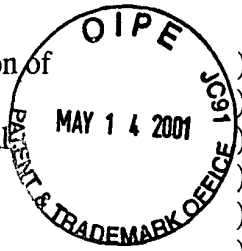
Toshio KOBAYASHI et al

Serial No. 09/735,938

Filed: December 14, 2000

For: NONVOLATILE  
SEMICONDUCTOR MEMORY  
DEVICE AND METHODS FOR  
OPERATING AND PRODUCING  
THE SAME

Attn: Applications Branch



**RESPONSE TO NOTICE AND  
SUBMISSION OF EXECUTED DECLARATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application mailed February 12, 2001 (copy of which is returned herewith), attached hereto is a Declaration and Power of Attorney, duly executed by the inventor, referring to the above-identified serial number and filing date in compliance with 37 CFR §1.116. Please charge Deposit Account No. 18-0013 in the amount of \$130.00 in payment of the surcharge for other than a small entity.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 18-0013. A duplicate copy of this letter is enclosed for that purpose.

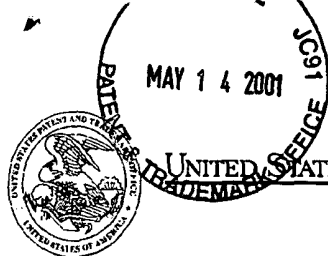
Respectfully submitted,

Dated: May 14, 2001

Ronald P. Kananen  
Reg. No. 24,104

Reg. No. 41,800

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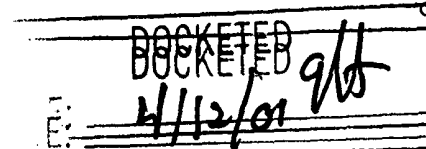
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/735,938	12/14/2000	Toshio Kobayashi	SON-2009

CONFIRMATION NO. 8075

## FORMALITIES LETTER

 RADER, FISHMAN & GRAUER, P. L. L. C  
 1233 20th Street, NW, Suite 501  
 Washington, DC 20036


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Date Mailed: 02/12/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The following item(s) appear to have been **omitted** from the application:

- Page(s) 113, 114, 116, 117, 118, 119, 121, of the specification (description and claims).

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the Patent and Trademark Office (PTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(i))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the PTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the PTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the

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application as deposited in the PTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) r (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the PTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the PTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE